

Inactive/Dormant Account Policy

Objective:

The objective of the policy is to appropriately deal with the Inactive/dormant clients.

The policy is also applicable for accounts which have been marked inactive on account of Rules, Bye laws, circulars and guidelines issued by SEBI, Exchanges and Internal Risk Management Policies.

Background:

SEBI vide circular no. dated December 3, 2009 and National Stock Exchange of India vide circular no. NSE/INSP/13606 dated December 3, 2009 directed that a policy be framed by stock brokers to deal with the inactive/dormant accounts and further National Stock Exchange of India vide circular no. NSE/INSP/43488 dated February 10, 2020, NSE/INSP/46506 dated December 01, 2020, NSE/INSP/ 49743 dated September 27, 2021 and NSE/INSP/64718 dated October 25, 2024 had issued circulars with respect to with respect to guidelines on Treatment of Inactive Trading Account.

Procedure to handle Inactive/dormant accounts:

If any of below mentioned activities has not been carried out by client since last 24 (Twenty-Four) months, then the account will be marked as "INACTIVE/DORMANT":

- Trading or participation in OFS/buy-back/Open Offer across any of the exchanges/segments* of the exchanges through the same Member or

*Cash/Equity Derivative/ Currency Derivative/ Commodities Derivative/EGR /Debt/Online Bond Platform/ Execution Only Platform /Any other segment as may be allowed by SEBI/stock exchanges from time to time.

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- Transaction in nature of applying/subscribing IPOs (where the IPO bid is successful & not cancelled)/SGBs/Mutual Funds (lumpsum investment or investments through successful SIP instalment payments) on the Mutual Fund platform of the stock exchanges through the same Member or
- Modification/updation of e-mail Id/Mobile Number/Address in KYC record of client through the same Member and the same has been uploaded to KRA to ensure Validated/Registered status.

All the accounts marked as “INACTIVE/DORMANT” needs to be monitored carefully in order to avoid unauthorized transactions in the account. If the client wants to make the account “ACTIVE” after 24 continuous months then the client needs to submit a request to reactivate his/her account along with the required supporting documents. In case there is any change in the information such as; address, mobile number, email id, bank/demat account, financial disclosure provided in KYC at the time of registration as client, the same has to be submitted along with the request. After proper verification of the updated / revised details and approval from the compliance officer / or concerned department in-charge of registration of clients, the account can be made “ACTIVE” and transaction can take place.

Process for reactivation of Inactive / dormant account which are inactive for 24 continuous months:

The Client can follow any of the below processes:

1. Client can give the duly signed request in writing at any of the branch/main offices of trading member or office of sub-broker or authorized person along with documents such as Identity Proof – such as PAN Card, Aadhar Card, Passport copy etc. and financial Information required for trading in derivative segment. The Client may also courier/ post the same for activation of account or
2. Client can also send an email from registered mail id for reactivation request.

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Process for reactivation of Inactive / dormant account which are inactive on account of Risk Management Policies / Non Compliance as per Rules, Bye laws, Circulars and Guidelines issued by SEBI, Exchanges:

Client can give the duly signed request in writing at any of the branch/main offices of trading member or office of sub-broker or authorized person along with the financial Information required for trading. The Client may also courier/ post the same for activation of account.

On verification of the same the compliance officer / risk department in-charge can authorize the activation of such Inactive accounts subject to Rules, Bye laws, circulars and guidelines issued by SEBI, Exchanges and Internal Risk Management Policies.

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